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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/970,063	10/03/2001	George Stone Ludwig	ALOSIA	9033
7590 01/30/2006				
PATRICK REILLY BOX 7218 SANTA CRUZ, CA 95061-7218		EXAMINER POLTORAK, PIOTR		
		ART UNIT PAPER NUMBER 2134		
DATE MAILED: 01/30/2006				

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/970,063

Applicant(s)

LUDWIG, GEORGE STONE

Examiner

Peter Poltorak

Art Unit

2134

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 04 November 2005.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-5,7,8 and 10 is/are pending in the application.
- 4a) Of the above claim(s) 6 and 9 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-5,7,8 and 10 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_

## **DETAILED ACTION**

### ***Response to Amendment***

1. The Amendment, and remarks therein, received on 11/04/05 have been entered and carefully considered.
2. The Amendment introduces new limitations into the originally sole independent claims 1 and dependent claims 3, 5, 7-8 and 10. The claims 6 and 9 have been withdrawn.

The newly introduced limitation has required a new search and consideration of the pending claims. The new search has resulted in newly discovered prior art. New grounds of rejection based on the newly discovered prior art follow below.

3. The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior office action.
4. Claims 1-5, 7-8 and 10 have been examined.

### ***Claim Rejections - 35 USC § 112***

The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

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1. Claims 1-5, 7-8 and 10 are rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the written description requirement. The claim(s) contains subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor(s), at the time the application was filed, had possession of the claimed invention.
2. Claim 1 recite a new, negative limitation "without further mediation by the grantor" , which is not found in the specification. Any negative limitation or exclusionary proviso must have basis in the original disclosure. See *In re Johnson*, 558 F 2d 1008, 1019, 194 USPQ 187, 196 (CCPA 1977).
3. Claims 2-5, 7-8 and 10 are rejected by virtue of their dependence.  
Appropriate corrections is required.

***Claim Rejections - 35 USC § 103***

4. Claims 1-2, 4, 7-8 and 10 are rejected under 35 U.S.C. 103(a) as being unpatentable over *Johnston et al. (W. Johnston and C. Johnston et al., "A use-condition centered approach to authenticated global capabilities: security architectures for large-scale distributed collaboratory environments", 1997, ISBN: 9290831205)* in view of *Birrell et al. (U.S. Patent No. 5805803)*.
5. *Johnston et al.* teach a security model and architecture intended to provide general scalable and effective security services in open and highly distributed network environments in order to meet the objective of providing the same level of, and expressiveness of, access control that is available to a local human controller of

information and facilities, and the same authority, delegation, individual responsibility and expressiveness of policy that one sees in specific environments in scientific organizations. The model is based on a public-key infrastructure and cryptographically signed certificates that encode use-conditions that are defined by those directly responsible for a resource (*Johnston et al., Abstract*).

6. As per claim 1 *Johnston et al.* teach public-key certificates providing the mechanism of establishing identity and distributing the cryptographic information needed to use that identity for user and message authentication (*Johnston et al., 1.4.3 Infrastructure section*). *Johnston et al.*'s model emphasizes direct checking satisfaction of use-conditions imposed by a resource controller. The principals that control resources will establish a set of conditions for the user of the resources. These use-conditions are then encoded by the responsible party in signed certificates. Paired with the resource owner's use-conditions are the principals that can attest to the relevant attributes of a user or agent that is seeking access to a resource (*Johnston et al., 2 A use-condition centered security model section*).
7. This reads on: "a creation of a grantor credential, the grantor credential identifying the grantor to a resource repository, and indicating to the resource repository the scope of access to at least one resource of the resource repository permitted to the grantor".
8. *Johnston et al.* also teach delegation authority, wherein the particular authority (e.g. administrator (root)) delegates portions of their authority down the organizational hierarchy, with the authority to "act" becoming steadily more specific (restricted).

This authority delegation is traditionally accomplished through use a collection of signed certificates that may be traced through an unbroken chain of such certificates back to the root of authority (*Johnston et al.*, 2 *A use-condition centered security model section*). The examiner once again points out that as cited above the certificate certificates providing the mechanism of establishing identity and distributing the cryptographic information needed to use that identity for user and message authentication and that they also comprise use-conditions encoded by the responsible party. The concept of "cascading" these certificates is clearly shown in Fig. 1.

9. This reads on an issuance of a grantee credential, the grantee credential comprising the grantor credential and identifying to the resource repository the grantor, a grantee scope of access to the resource repository, where the grantee scope of access is limited to no more than the scope of access indicated by grantor credential.
10. *Johnston et al.* teach implementation of the invention in network environment (e.g. *LDAP/X.500, Johnston et al.*, 1.4.3 *Infrastructure section*, 1.5.6 *Certificate Distribution section etc.*).
11. *Johnston et al.* does not teach explicitly transmission of the grantee credential to the grantee via the computer network,
12. *Birrell et al.* discloses transmission of the credentials to a grantee via the computer network (*Birrell et al.*, col. 4 lines 35-64 and Fig. 1). It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to include

transmission of the grantee credential to the grantee as taught by *Birrell et al.* into *Johnston et al.*'s invention. One of ordinary skill in the art would have been motivated to perform such a modification in order to provide remote means of authentication to the grantee (*Birrell et al.*, col. 4 lines 35-51).

13. The limitation: "whereby the grantee credential enables the grantee to request a validation by the resource repository of a request for access to the at least one resource issued by the grantee the request limited to access as authorized within the grantee credential by the grantor, and without further mediation by the grantor" is implicit since as discussed above, the purpose of the delegation of authority is to enable the grantee access resources that are within the limits of the grantor. In addition as shown in Fig. 1 and disclosed in "A use-condition centered security model" authorization is conducted without further mediation by the grantor.

14. As per claims 2, 4 and 10 *Johnston et al.*'s the grantee credential comprise an electronic signature of the grantor wherein the electronic signature comprises public key cryptography (*Johnston et al.*, Abstract and 2. A use-condition centered security model section) and revocation of the credentials (*Johsnton et al*, 2. A use-condition centered security model and Objectives of a prototype architecture sections).

15. Claims 3 and 5 are rejected under 35 U.S.C. 103(a) as being unpatentable over *Johnston et al.* (*W. Johnston and C. Johnston et al.*, "A use-condition centered approach to authenticated global capabilities: security architectures for large-scale distributed collaboratory environments", 1997, ISBN: 9290831205) in view of *Birrell et al.* (U.S. Patent No. 5805803) and further in view of *Kotok et al.* (*Alan Kotok and*

*David Webber, "The XML/edi Group's XML for E-business Initiative", 11/1999, <http://www.xml.com/pub/a/1999/11/edi/index2.html>).*

16. *Johnston et al.* in view of *Birrell* teach the security model as discussed above.
17. *Johnston et al.* in view of *Birrell* do not explicitly teach that grantee credential is comprised within an XML document.
18. *Kotok et al.* teach XML /edi standard that encourages business to invest in data exchange technology. *Kotok et al.* teach credential comprised in an XML document (*Table 1: XML/edi Group's XML for E-Business Recommendations 3*)) utilizing electronic data interchange message ((*the implementation of the electronic data interchange message (edi) standard is discussed thought the article*)) that are utilized in the business data exchange.

It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to comprise grantee credential an XML document and transmitting the grantee credential to the resource repository in at least one electronic data interchange message as taught by *Kotok et al.* One of ordinary skill in the art would have been motivated to perform such a modification in order to accommodate business needs.

### ***Conclusion***

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure:

*Fai et al. (U.S. Patent No. 6799177).*



Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Peter Poltorak whose telephone number is (571)272-3840. The examiner can normally be reached Monday through Thursday from 9:00 a.m. to 4:00 p.m. and alternate Fridays from 9:00 a.m. to 3:30 p.m.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gregory Morse can be reached on (571) 272-3838. The fax phone number for the organization where this application or proceeding is assigned is (571) 273-8300.

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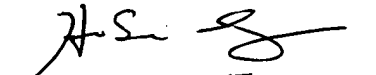
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Signature

1/23/06

Date

  
Primary Examiner  
Art Unit 2135